

When Your Broker Calls, Take Notes!

(If you don't know the broker, feel free to hang up!)

Make copies of this form to have handy and use it to make notes of conversations with your salesperson or adviser. Be sure to record details of the recommendations you receive and the instructions you give. Keep the notes in your files.

Date	Time
<input type="checkbox"/> Call made	<input type="checkbox"/> Call received
<input type="checkbox"/> Meeting	Location
Name of Broker	Phone
Broker's Firm	Phone
Broker's CRD No.	<input type="checkbox"/> Obtained CRD Report *

1 Investment Recommendation

☐ Buy ☐ Sell

Name of Security

I asked to receive written information about the investment before making a decision.

☐ Yes ☐ No

I will get:

- ☐ a prospectus
- ☐ an offering memorandum
- ☐ most recent Annual Report
- ☐ most recent quarterly or interim reports
- ☐ recent news releases
- ☐ research reports
- ☐ other information

Reasons for recommendation

How does this meet my investment objectives?

Proposed Trade

Number of shares/units

Price Per Share \$ Total Cost \$

Commission

What are the risks?

My instructions

☐ Do nothing ☐ Buy ☐ Sell

Number Price \$

* Call your securities regulator to obtain the CRD report, which discloses any disciplinary incidents, on your salesperson.

If you suspect wrong doing, please contact the Washington State Department of Financial Institution Securities Division at 360-902-8760 or 800-372-8303.

NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION

2 Additional Investment Recommendation on same date

☐ Buy ☐ Sell

Name of Security _____

Reasons for recommendation _____

How does this meet my investment objectives? _____

What are the risks? _____

Notes

I asked to receive written information about the investment before making a decision.

☐ Yes ☐ No

I will get:

- ☐ a prospectus
- ☐ an offering memorandum
- ☐ most recent Annual Report
- ☐ most recent quarterly or interim reports
- ☐ recent news releases
- ☐ research reports
- ☐ other information

Proposed Trade

Number of shares/units _____

Price Per Share \$ Total Cost \$ _____

Commission _____

My instructions

☐ Do nothing ☐ Buy ☐ Sell

Number _____ Price \$ _____

Notes made by: _____

Date _____

Time _____